

Andrea Greene Wells

Principal

Birmingham

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Andrea Greene Wells offers her clients nearly two decades of litigation experience in defending brokerage firms and financial institutions against claims asserted by customers in court and in arbitration proceedings throughout the country. Andrea also defends brokerage firms and financial institutions in connection with regulatory investigations conducted by FINRA, the SEC and various state regulators across the southeast, including Alabama, South Carolina, Georgia and Tennessee. Andrea focuses her practice in matters involving complex financial products, covering a vast array of investment-related products, services and transactions. For example, she has extensive experience defending claims involving annuities, collateralized debt obligations, auction rate securities and structured products. While Andrea now spends most of her time defending complex product matters in the financial services industry, she began her career as a general litigator, handling insurance defense matters. Her extensive trial experience equips her to handle a broad spectrum of regulatory and litigation matters.

Representative of the clients that Andrea has represented are Hilliard Lyons (a Baird Company), Morgan Stanley Dean Witter, Inc., Raymond James Financial Services, Inc., Morgan Keegan & Company, AXA Equitable Life Insurance Company, Inc., AIG SunAmerica Life Assurance Company, TradeStation Securities, Inc., Fidelity Investments and UBS Financial Services, Inc.

Andrea is the Co-Founder of SWIFS (Southeastern Women in Financial Services), a network of more than 130 women attorneys in the financial services arena. Established in 2016, SWIFS has become a professional organization that is dedicated to the development and advancement of female leaders in the legal industry. SWIFS offers its members mentoring, training and educational programs. In addition, SWIFS supports the financial education and economic security of women in the Southeast through community partnerships, education, and advocacy. A passionate advocate

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AREAS OF PRACTICE

Anti-Money Laundering
Expungements
Financial Institutions
Financial Institutions Advisory Practice
Financial Institutions Enforcement Defense
Financial Institutions Internal Investigations
Financial Institutions Litigation and Arbitration
General Litigation
Investment Advisers
Retail Client Relationships
Senior & Vulnerable Investor Group

EDUCATION

- Cumberland School of Law, J.D., *cum laude*, 2003
- Samford University, B.A., *cum laude*, 2000

ADMISSIONS

Alabama
U.S. District Court for the Northern, Middle and Southern

for women, Andrea also serves on the Women's Initiative Committee at Bressler.

Awards & Accolades

- Named to *Birmingham Business Journal's* "Best of the Bar," 2022
- Recognized in the list of the *Birmingham Business Journal's* "Top 40 Under 40", 2018

No aspect of this or any advertisement has been approved by the Supreme Court of New Jersey. A description of the award methodologies can be found [here](#).

Experience

- Successfully defended a global investment bank in connection with more than \$50 million in claims involving the sale of Collateralized Debt Obligations to retail investors
- Successfully defended a global financial services firm in connection with its sale of structured products to individual investors
- Successfully defended a number of registered representatives in expungement hearings to remove sales practice allegations from their Central Registration Depository records

Speaking Engagements & Events

FINRA Expungement - The Latest on Recent Rule Changes Effective 10/16/2023
Webinar, 09.20.2023

Principal Andrea Greene Wells Speaking at SIFMA C&L 2023 Regional Seminar in Charlotte
Speaking Engagement, Charlotte, NC, 09.11.2023

Professional Affiliations

- American Bar Association, Dispute Resolution Section
- Alabama State Bar Association
- Birmingham Bar Association
- Securities Industry and Financial Markets Association, Compliance and Legal Division
- Southeastern Women in Financial Services

Districts of Alabama

Supreme Court of Alabama

- Co-Founder and Co-Chair of the Board